Legal Entity Identifier (LEI) User Guide

Table of Contents

The Legal Entity Identifier User Guide gives you an overview of the functionality of the UnaVista LEI module. This user guide includes the following sections; click the below link to access the respective section:

Introduction

London Stock Exchange PLC has over 20 years of experience as the UK's National Numbering Agency for assignment of International Securities Identification Numbers (ISINs) and Classification of Financial Instruments (CFIs) and was also endorsed by the Regulatory Oversight Committee (ROC) as a Local Operating Unit (LOU) for the global allocation of Legal Entity Identifiers (LEI) and are accredited by GLEIF www.gleif.org

London Stock Exchange's LEI, also known as the International Entity Identifier (IEI), is issued to legal entities according to the agreed Principles outlined by the ROC and GLEIF (www.gleif.org). The LEI codes will be issued and maintained via UnaVista, the London Stock Exchange Group's hosted matching and reconciliation platform

Legal Entity Identifier (LEI) Solution Overview

The LEI solution enables you to **Request and Maintain your LEI** record/s including the ability to monitor your LEI Status, view your LEI details, add documentation and fulfil **Annual Renewal** obligations.

You can also submit 10 or more LEI requests using the **Bulk Request** functionality and renew 10 or more LEIs using the **Bulk Annual Renewal** feature.

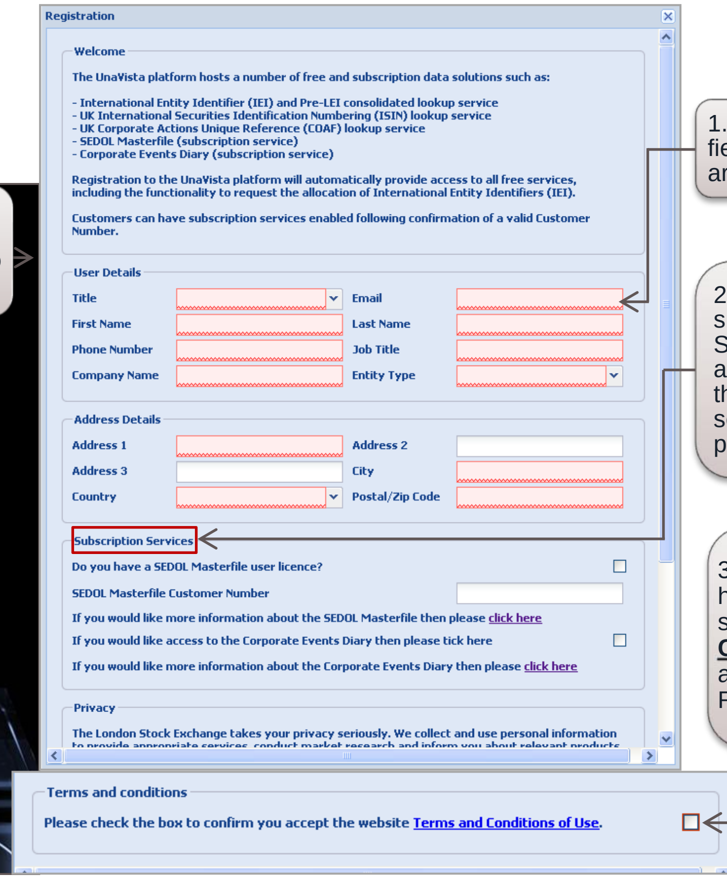
Additionally, you can search the consolidated universe of LEI data, as well as challenge a LEI record under the responsibility of the London Stock Exchange if you believe the details to be incorrect.

Registration

To access the LEI database, click the following link: www2.londonstockexchangegroup.com/register-for-lei.The **Registration** page will be displayed. As standard, all free services will be available upon registration. Please complete the Registration details:

Please Note: Registration details will be used to validate that self-registration principle for LEI requests is being adhered to. Therefore, enter the full entity name of the organisation you work for in the Company Name field.

To register, click the **Register** button on the **Login** screen. Then **Enter your email** in the **User Registration** window and you will be sent a link. Click the link which will then take you to the Registration Screen



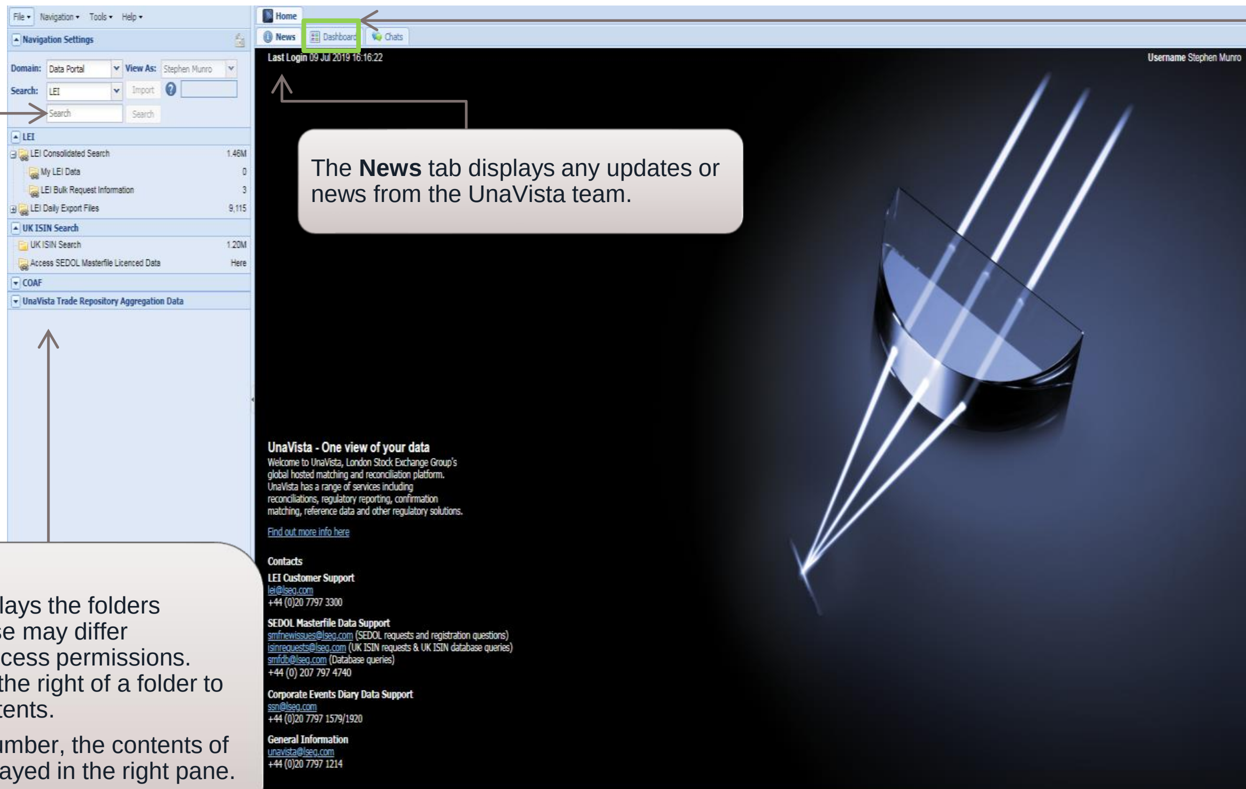
1. Complete all the mandatory fields. The mandatory fields are highlighted in red.

2. If you have additional subscription services, such as SEDOL Masterfile, you can add them to your profile from the **Subscription Services** section on the Registration page.

3. Please ensure that you have accepted the T&Cs by selecting the **Terms and Conditions of Use** check box at the bottom of the Registration form.

Welcome Screen

When you successfully log on to the UnaVista portal, the following UnaVista Welcome screen is displayed.



The **Search** facility enables you to search for LEIs using part of the entity name.

The **News** tab displays any updates or news from the UnaVista team.

If configured, the **Dashboard** displays the pre-set charts giving a snapshot of data in the system.

The **Folder Tree** displays the folders available to you. These may differ depending on your access permissions. **Click the number** to the right of a folder to access the folder contents.

When you click the number, the contents of the folder will be displayed in the right pane.

The **Welcome Screen** displays the recent news or updates from UnaVista as well as general contact information.

Folder Data

Folder Data

Details on how to access data within the folders is explained in the Folder Data section. The Folder Data section includes the following topics; click the link to access the respective topic:

- Accessing Folders
- Apply Filters
- Remove Filters

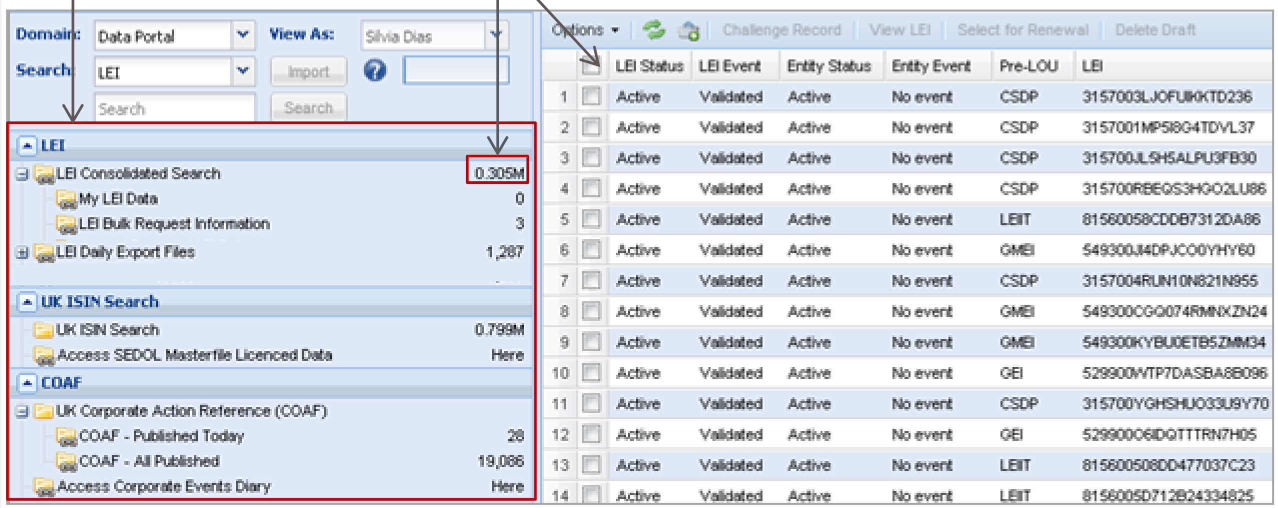
Accessing Folders

The left pane displays a list of folders in the system. The folders available will depend on your user profile and additional subscription services. To access the contents of the folder, click on the number displayed next to the folder. The contents of the folder are displayed in the right pane.

Folder Summary

- **LEI Consolidated Search** – Contains all LEI records available across all LOUs
- **My LEI Data** – This is where you can access and manage all LEI data under your user account
- **LEI Bulk Request Information** – Contains the LEI Bulk Request Reference Data tables, Bulk Request Template and User Manual.
- **Annual Renewal LEI Data** – Contains all your LEI records that require Annual Renewal.
- **UK ISIN Search** – Contains all UK ISIN (GB, GG, JE & IM) and the respective CFI data
- **COAF** – Contains details of all assigned UK Corporate Action Reference Numbers

Click the **number** displayed to the right of the respective folder. The contents of the selected folder is displayed in right pane.



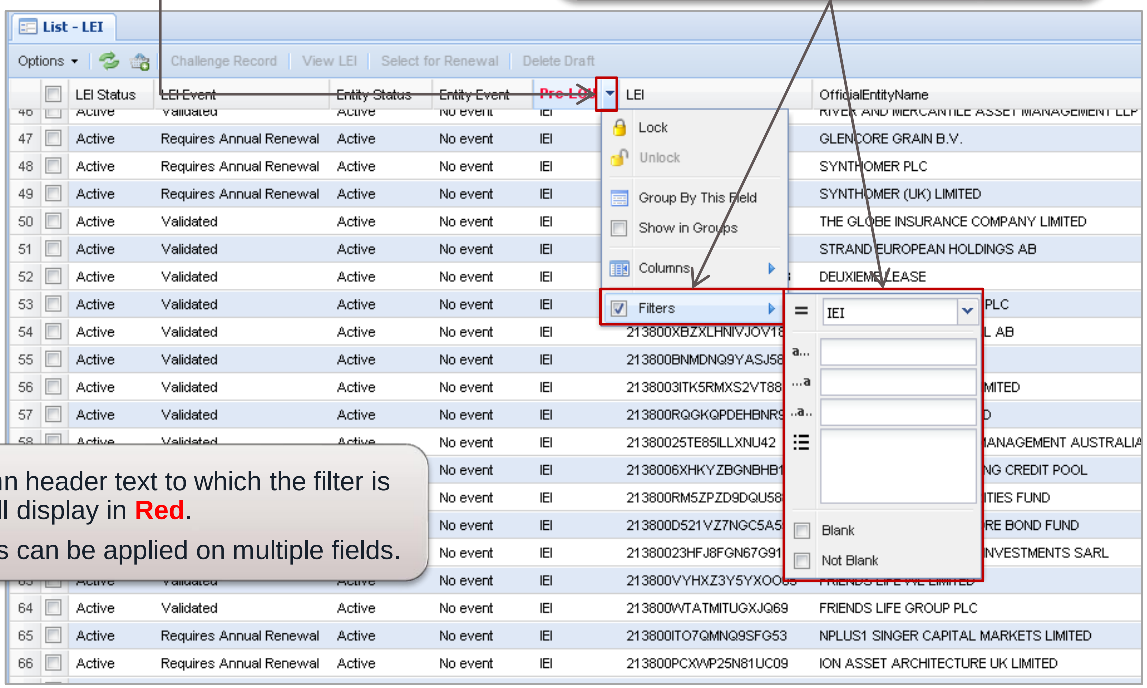
Apply Advanced Filters

You can narrow down the records displayed on the screen by applying filters. The UnaVista platform provides you the functionality to search and filter records based on any column. This functionality is applicable to all the screens available to you.

1. To filter the records based on column, hover the mouse over the column header, a drop-down arrow will appear next to the column name.

2. Click the drop-down arrow, a menu with different options is displayed.

3. From the drop-down menu, point to **Filters**, and then click the appropriate value from the drop-down list or type characters in the data string fields.



The column header text to which the filter is applied will display in Red.

Also, filters can be applied on multiple fields.

The **Column Filter** is a temporary filter view that allows you to filter by value in a selected column:

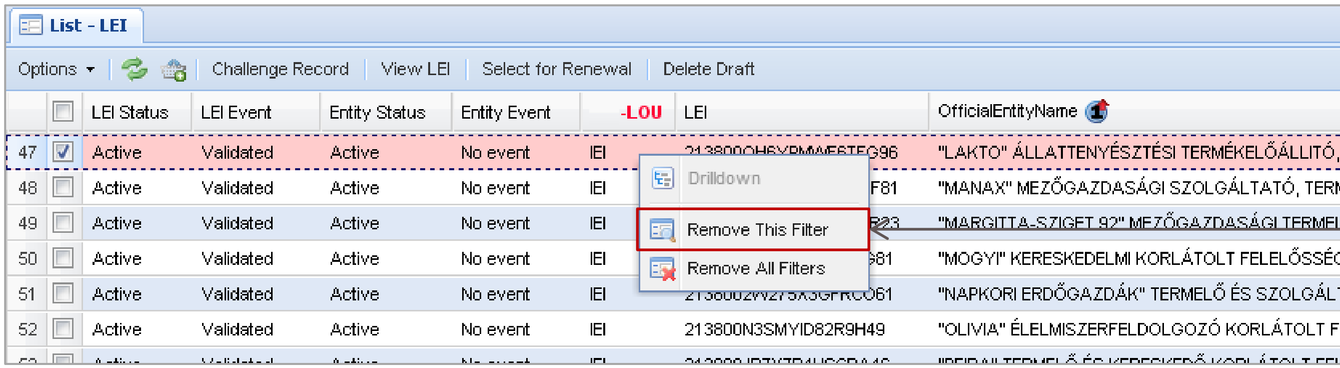
- Access the column filter by clicking the downward arrow on the column header and selecting **Filters**
- Populate the filter according to the data type. Text values can be filtered by
  - Equals
  - Starts with
  - Ends with
  - Contains
  - List filter

- Note: Filters can be applied on multiple fields
- Date values can be selected by calendar.
- **Multiple Search** field can either be populated with multiple values or you can paste a list into it.

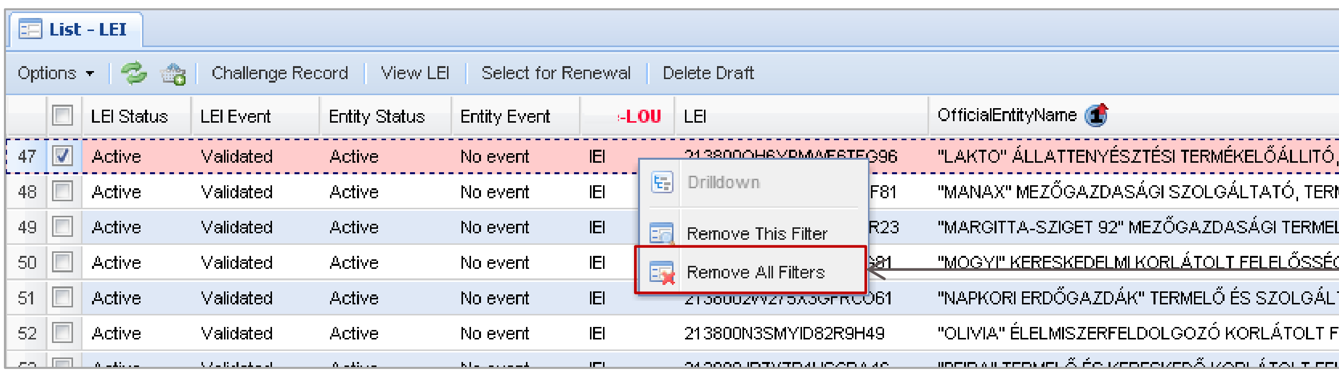
Select the **Blank** check box if you wish to search for blank fields or **Not Blank** if you wish to exclude blank fields from the search.

Remove Applied Filters

You can remove all the filters that you have applied to your data if you no longer want to view only the filtered records.



If a filter is applied to only one column then, right-click in the column to which the filter is applied. A menu is displayed, click the **Remove This Filter** option.



If multiple filters are applied, then click the **Remove All Filters** option from the menu.

Note: If you use the advance filters for your initial search, you cannot request an LEI from this page.

LEI – Requesting & Managing Records

LEI Record Management

The LEI Record Management section includes the following topics, click the link to access the respective topic:

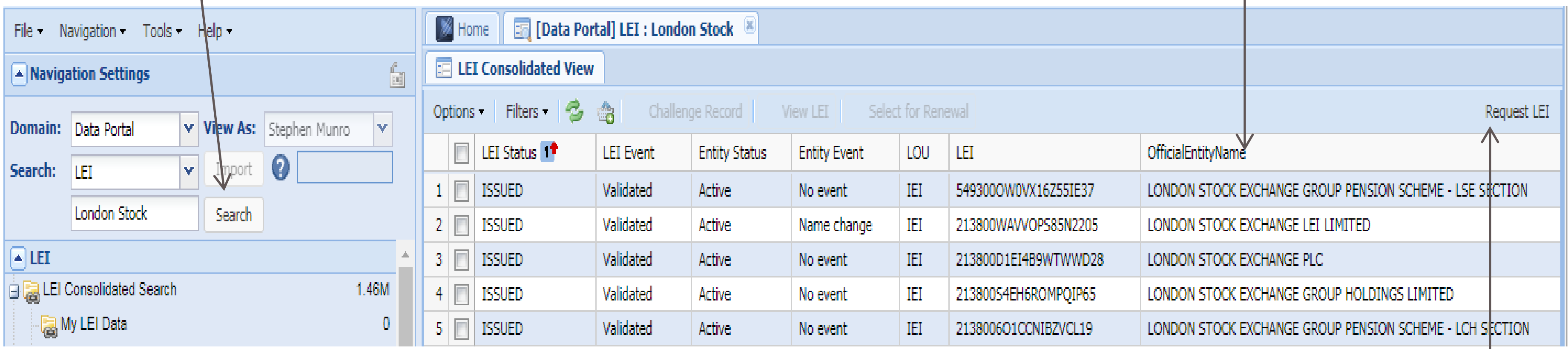
- **Search LEI Record(s)**
- **View LEI Record Details**
- **Manage your LEI Request(s)**
- **Requesting an LEI**
- **Pay and Submit LEI Request**
- **Annual Renewal Request**
- **Bulk Request Information**
- **Bulk Annual Renewal Request**
- **Challenging an LEI Record**

Search LEI Record(s)

The **Search** facility in the **Navigation Settings** region enables you to search the database for an existing LEI. The applicable LEI matches are displayed in the right hand panel from the **LEI Consolidated View** folder.

Type part of the entity name you wish to search an LEI code for in the **Search** field, and press **ENTER** or click the **Search** button.

Entities that contain the searched word will be displayed in the right pane. The relevant LEI will also be displayed.



You will notice that following return of search results, the **Request LEI** button will be displayed to the upper right corner of the page. Click this button to submit a request for a LEI.

For more details, please refer to the Request a LEI topic of this user guide.

Search LEI Record(s)

The **Search** facility in the **Navigation Settings** region enables you to search the database for an existing LEI. The applicable LEI matches are displayed in the right hand panel from the **LEI Consolidated View** folder.

Type part of the entity name you wish to search an LEI code for in the **Search** field, and press **ENTER** or click the **Search** button.

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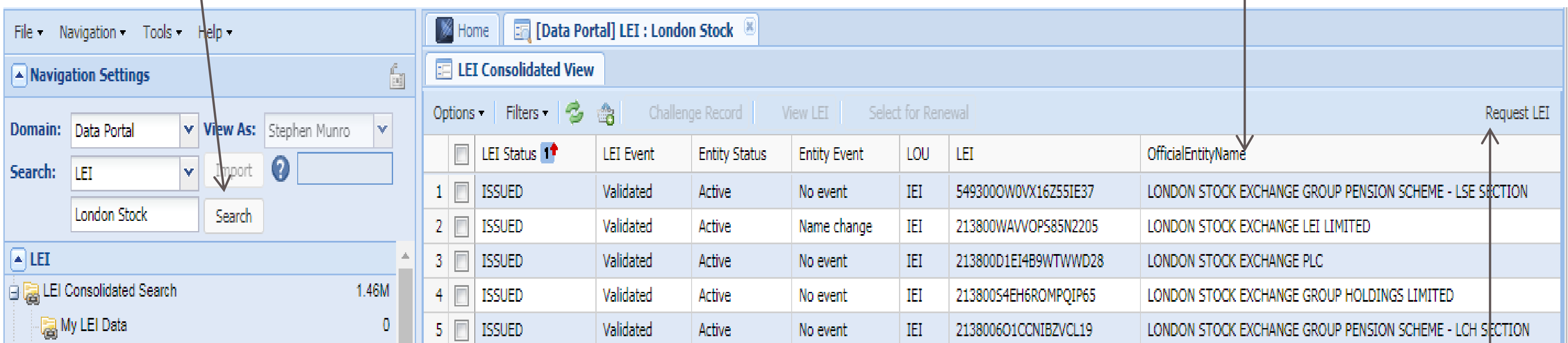
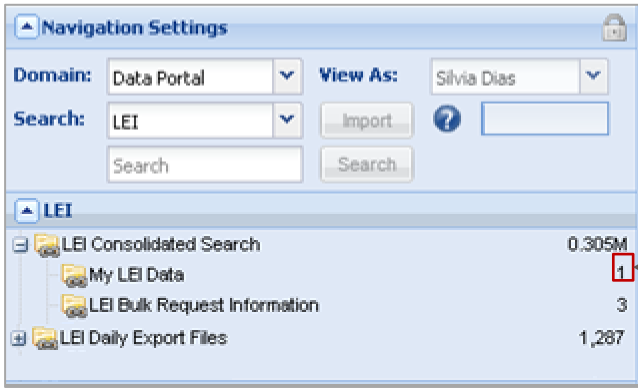


You will notice that following return of search results, the **Request LEI** button will be displayed to the upper right corner of the page. Click this button to submit a request for a LEI.

For more details, please refer to the Request a LEI topic of this user guide.

Manage your LEI Request(s)

You can manage your LEI records, including making payments to submit your request, in your **My LEI Data** folder. To view your LEI requests, click on the **number** that is displayed next to the **My LEI Data** folder. Your LEI request(s) will be displayed in the right hand panel.



Click the **number** to the right of the **My LEI Data** folder. The LEI request(s) are displayed in the right pane.

Important Note:

In order for us to begin the validation process of your LEI request, you must have credit card payment approved.

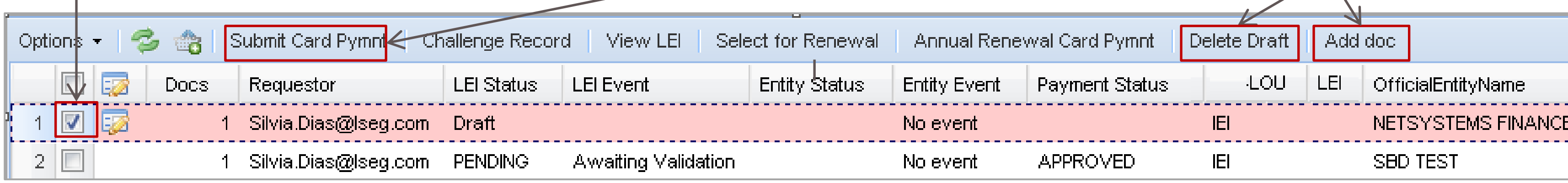
- Upon submission of your request, payment will be authorised but not taken.
- Payment is only taken upon LEI allocation and an email is sent to the requestor confirming payment and providing the LEI.

To make a payment and submit the request, select the record and click the **Submit Card Pymnt** button. For more details, please refer the Pay and Submit LEI Request topic.

You can delete the draft records. To delete the record, select the record and click the **Delete Draft** button.

To add additional documents to the LEI request, click the **Add doc** button.

To edit the record, click the **Edit Record** icon next to the record that you want to update.



Requesting an LEI

Requesting an LEI is a 3 step process: **1. <u>Search LEI database</u> 2. <u>Complete Request LEI template</u> 3. <u>Submit Credit Card payment</u>**

Before you submit a request for an LEI, you must search the LEI database to see if an LEI already exists (**see point 1 below**). For more details on how to search an LEI, please refer to the <u>Search LEI Record(s)</u> topic in this user guide.

If the searched LEI exists in the system, it will be displayed in the right hand panel from the **LEI Consolidated View** tab.

If you have more than 10 LEI requests to submit, please use the <u>Bulk Request Information</u> feature.

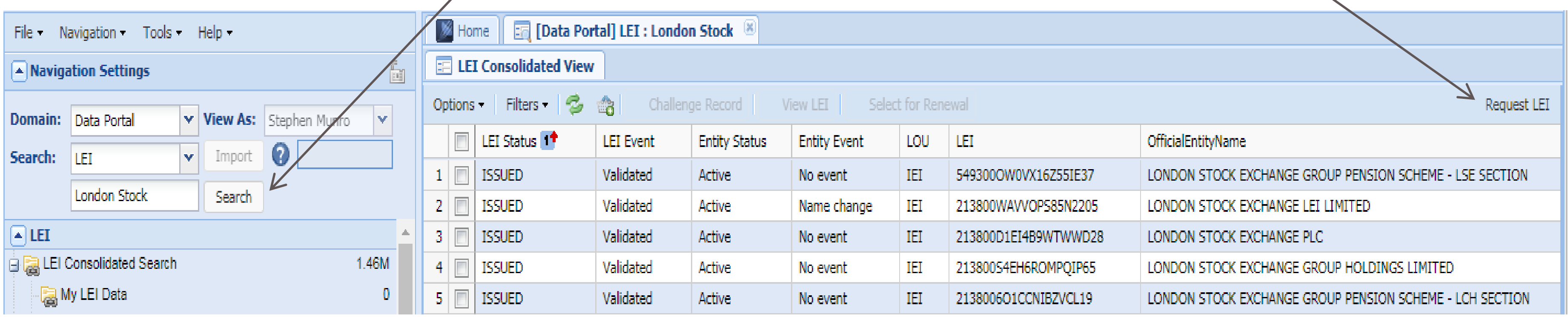
1. Search for the entity name within Navigation settings.

This will return potential matches within the **LEI Consolidated View**.

See 'London Stock' as an example below

2. If no match is found, to request a new LEI, click the **Request LEI** button.

The **Request LEI** button will only be displayed following a search for an LEI.



Once you click the **Request LEI** button, a new window is opened as shown on pages <u>10 -11</u> enabling you to submit a request for a new LEI. To submit the payment so the LEI request can be validated please see page <u>12</u>

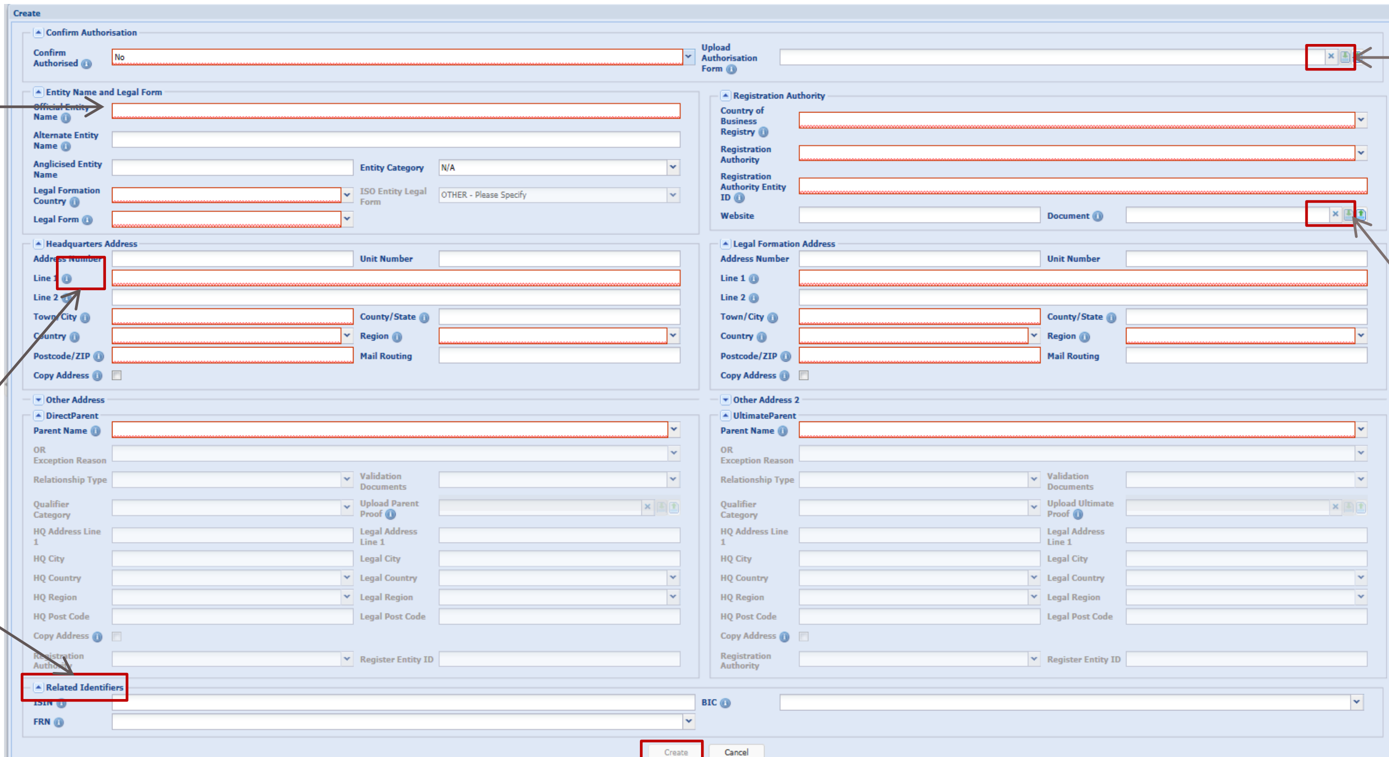
Requesting an LEI

The Create screen enables you to complete and submit the different details related to the new LEI request that you want to create.

1. Complete all the mandatory fields. The mandatory fields are highlighted in red.

2. Tips are provided for all the fields. To view the Tip, hover your mouse or click icon.

Related Identifiers can be provided to assist in validation process.



3. Upload **Authorisation Form** if you are a third party applying for an LEI on behalf of the Legal Entity.

Upload supporting **Document** such as Fund prospectus, Trust deed, Articles of Incorporation, if this information is not publically available on a Registration Authority.

Note: You can add multiple documents once you have created a draft. Please refer to the <u>Manage your LEI Request</u> topic.

4. Complete all the mandatory fields and click the **Create** button.

You will notice that the **Create** button is disabled when you open the screen. However, it will be enabled once all the mandatory fields are completed.

Note: *Your LEI Request will only be completed once you make a payment.*

Enter LEI Data

The LEI data has two main sections, the LEI Entity data and the LEI Parent data. **Both sections need to be completed before you can request a LEI.**

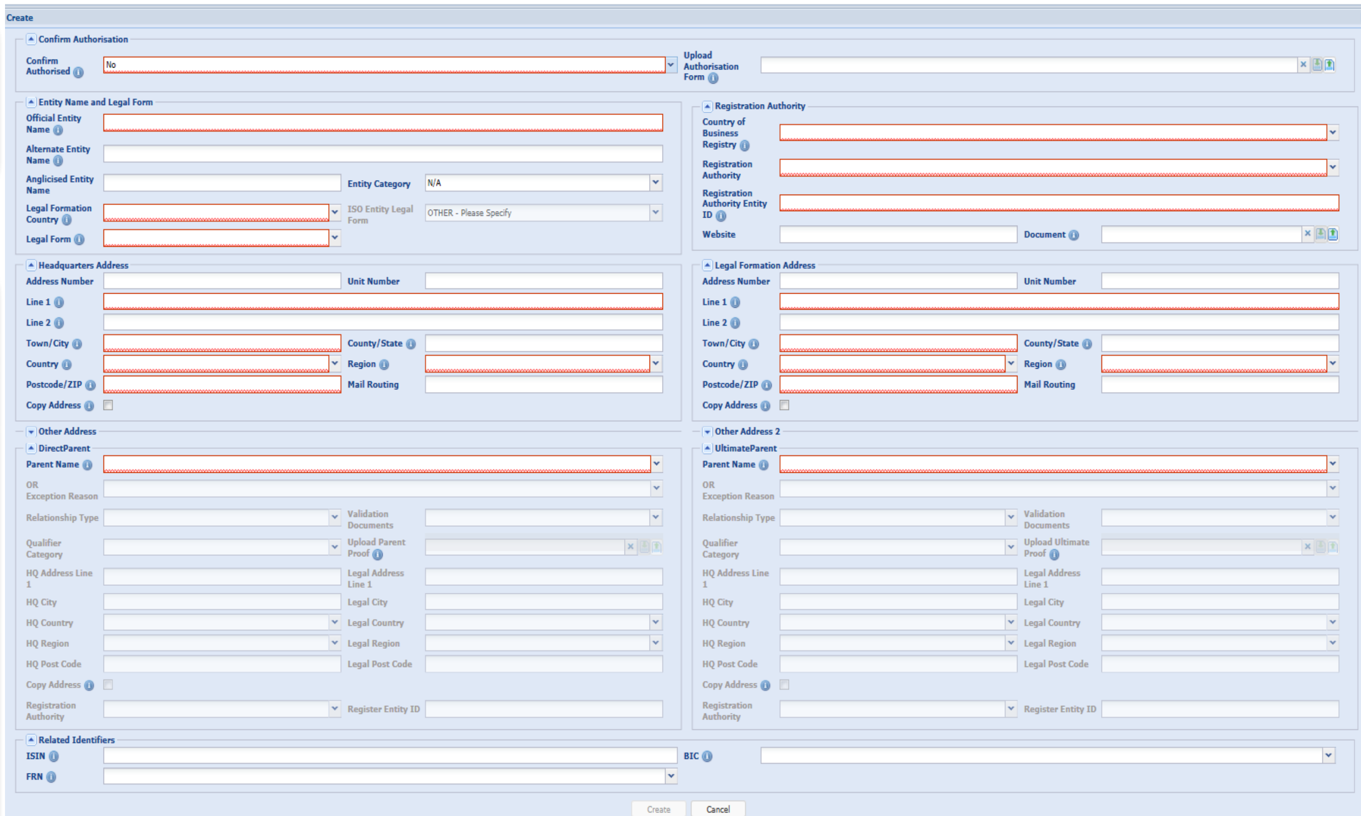
The LEI Entity data in the first section of the create form consists of information about your entity such as the name, type of entity, registry details and address details (headquarters address and legal/registered address).

The LEI Parent data or Level 2 data is information of your entity's **direct and ultimate parent** as per accounting consolidating standards.

- Select Parent Name from the drop down list if the Parent has as LEI.
- If Parent does not have a LEI yet, enter the full name of the Parent and complete all fields including address and registry details of the Parent. *(Alternatively apply for the Parent LEI, if required).*
- *If a Parent does not exist or cannot be disclosed, choose 'N/A' from the drop down and complete the Exception Reason field.*

Please see the LEI Level 2 Data

Help Sheet for further information.



GLEIF Link on Level 2 Data:
https://www.gleif.org/en/lei-data/access-and-use-lei-data/level-2-data-who-owns-whom

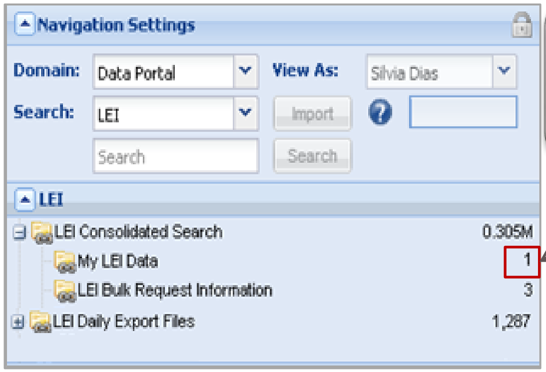
LEI ROC Policy on Level 2 Data:
https://www.gleif.org/en/lei-data/access-and-use-lei-data/level-2-data-who-owns-whom/lei-roc-policy-on-level-2-data

Pay and Submit LEI Request

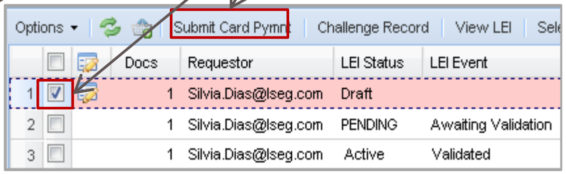
The **My LEI Data** folder enables you to make payments and submit your LEI requests. To make a payment, please follow the below **7** steps:

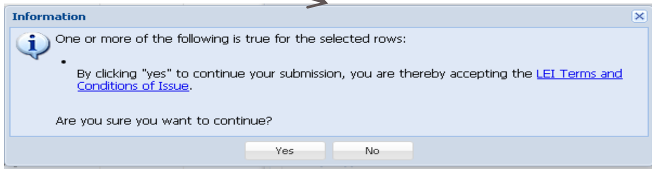
1. Click the **NUMBER** to the right of the **My LEI Data** folder.

The LEI request(s) are displayed in the right pane.

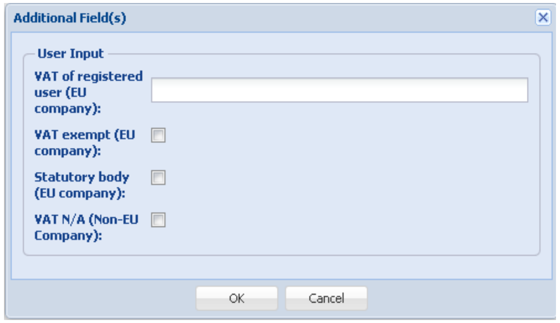


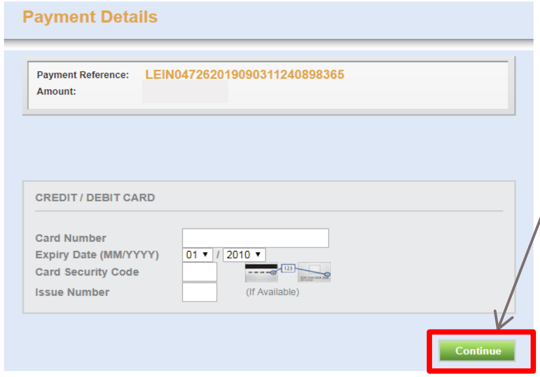
2. Select the check box next to the record for which you need to make a payment
3. Click the **Submit Card Pymnt** button.
4. Chose the **VAT option** that applies to you from the VAT screen as shown below.
5. Accept the **Terms and Conditions** to continue to the **Payment Details** screen as shown below:



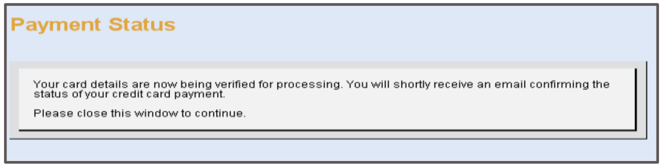


6. Enter the **VAT number** of the company you work for **OR** chose one of the three options





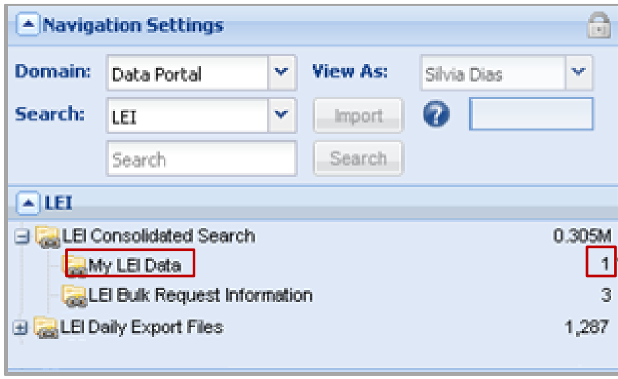
7. Enter your credit card details and click the Continue button to proceed with the payment. The Payment **Status** screen is displayed as shown below:



Note: On payment submission you will receive an email response confirming the status of your payment. Once your LEI request is validated or if more information is required, you will be contacted by an email. **If no email is received, your payment may not have been processed, please contact lei@lseg.com if this is the case**

Annual Renewal Request

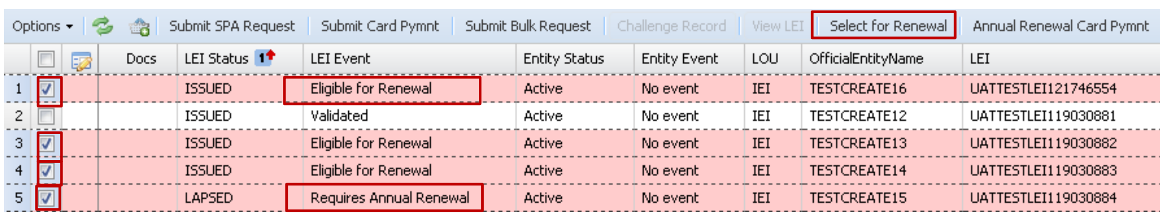
Every year you need to revalidate your LEI. As a reminder, an automated email will be sent to you 60 days prior to your renewal. The UnaVista portal allows you to access your LEI Renewal records from your **My LEI Data** folder .



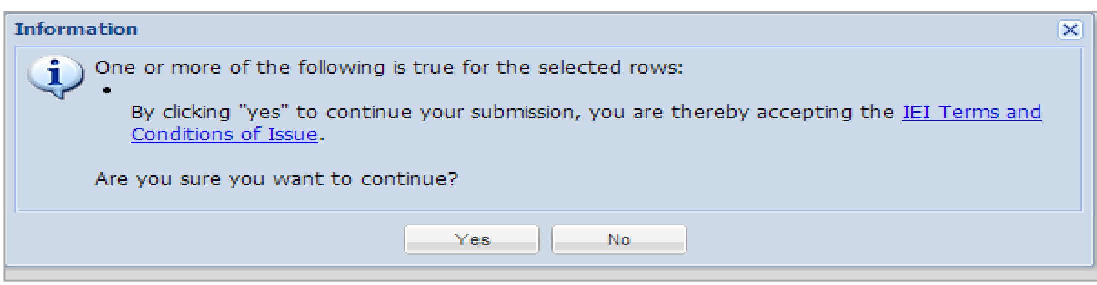
1. To access the LEI records for renewal, click the number displayed next to the **My LEI Data** folder.

The details of will be displayed in the right pane.

Note: If you have more than 10 LEI renewal request, you can use the Bulk Annual Renewal Request feature.



2. From the right pane, select the record that you need to renew. You should only select the records that are due for renewal (i.e. where the **LEI Event** is **Eligible for Renewal** or **Requires Annual Renewal**).
3. Click the **Select for Renewal** button.



Once you click the **Select for Renewal** button, the **LEI Terms and Conditions of Issues** screen is displayed.

4. Accept the **Terms and Conditions** to continue.

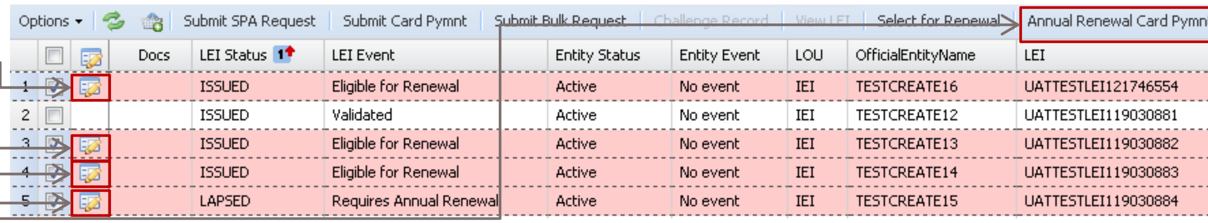
(…continued on the next page)

Annual Renewal Request continued

When you accept the Terms and Conditions, an **Edit record** icon is displayed next to the record.

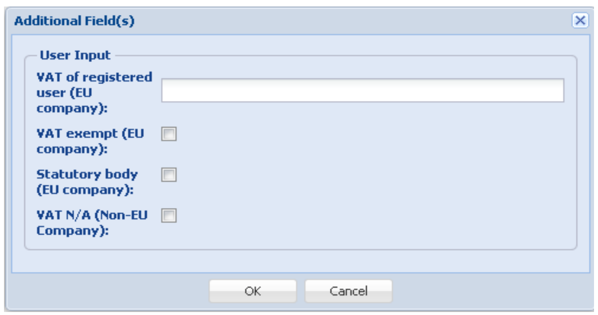
5. Click the **Edit record** icon to review and update any information that has changed.

6. When you are ready to submit the renewal, click the **Annual Renewal Card Pymnt** button.

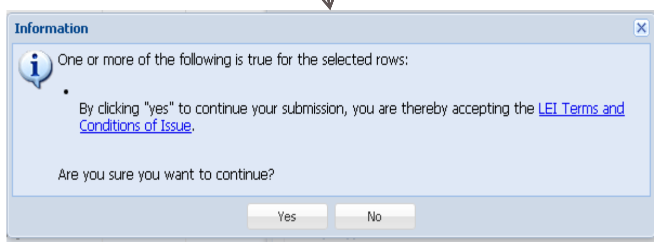


		Docs	LEI Status	LEI Event	Entity Status	Entity Event	LOU	OfficialEntityName	LEI
1			ISSUED	Eligible for Renewal	Active	No event	IEI	TESTCREATE16	UATTESTLEI121746554
2			ISSUED	Validated	Active	No event	IEI	TESTCREATE12	UATTESTLEI119030881
3			ISSUED	Eligible for Renewal	Active	No event	IEI	TESTCREATE13	UATTESTLEI119030882
4			ISSUED	Eligible for Renewal	Active	No event	IEI	TESTCREATE14	UATTESTLEI119030883
5			LAPSED	Requires Annual Renewal	Active	No event	IEI	TESTCREATE15	UATTESTLEI119030884

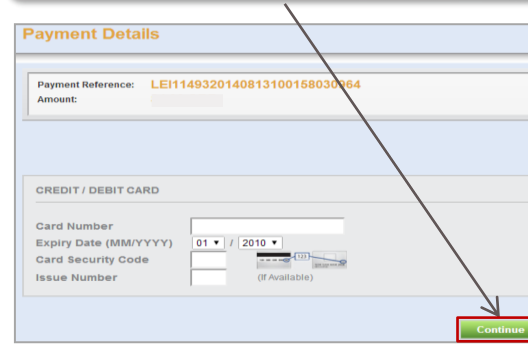
7. Enter the **VAT number** of the company you work for **OR** chose one of the three options



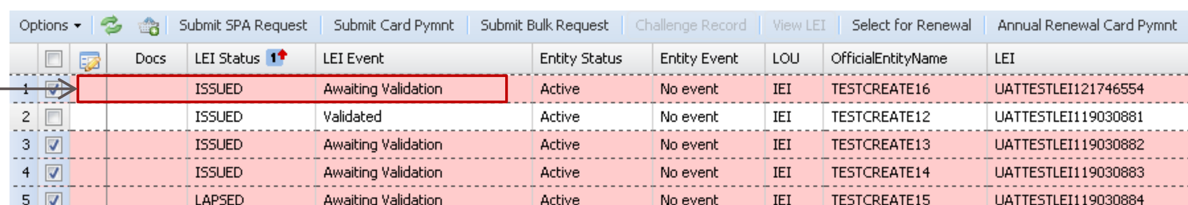
8. Accept the **Terms and Conditions** to continue to the **Payment Details** screen as shown in step **9**.



9. Enter all the appropriate card details and click **Continue**. You will then receive an email confirming that your payment has been approved.



10. Once the payment is submitted, you will notice that the **Edit record** icon next to the record is no longer available and also the **LEI Event** changes to **Awaiting Validation**.



		Docs	LEI Status	LEI Event	Entity Status	Entity Event	LOU	OfficialEntityName	LEI
1			ISSUED	Awaiting Validation	Active	No event	IEI	TESTCREATE16	UATTESTLEI121746554
2			ISSUED	Validated	Active	No event	IEI	TESTCREATE12	UATTESTLEI119030881
3			ISSUED	Awaiting Validation	Active	No event	IEI	TESTCREATE13	UATTESTLEI119030882
4			ISSUED	Awaiting Validation	Active	No event	IEI	TESTCREATE14	UATTESTLEI119030883
5			LAPSED	Awaiting Validation	Active	No event	IEI	TESTCREATE15	UATTESTLEI119030884

Once the validation checks are completed and the LEI annual renewal approved, you will receive an email which will include the LEI details with the new renewal date and an Invoice of payment. The **LEI Status** will change to **Active** and the **LEI Event** will display **Validated**.

Bulk Request Information

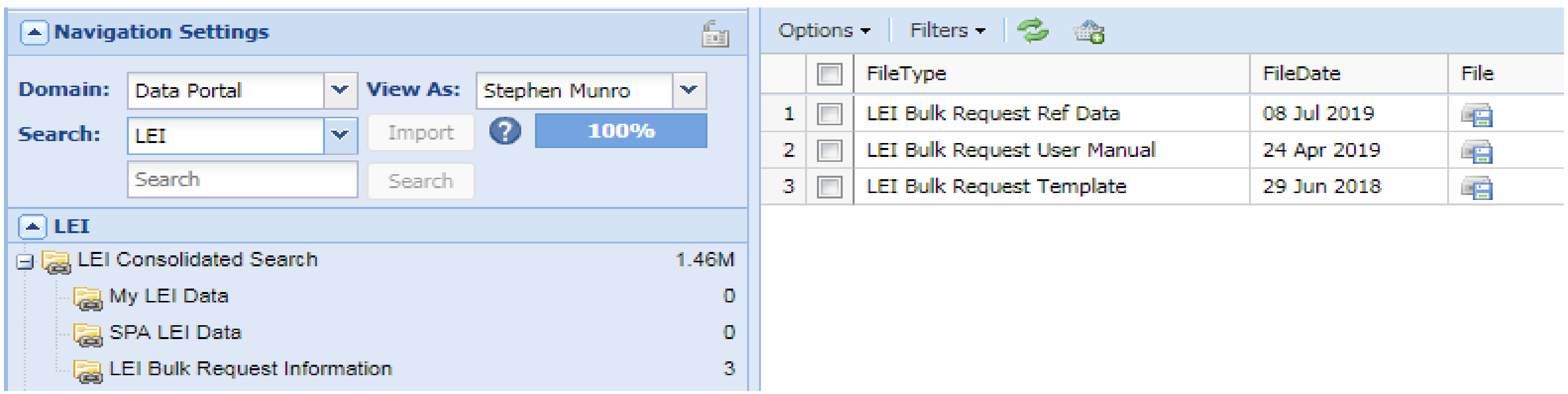
The Bulk Request feature enables you to submit 10 or more LEI requests at a time. For more information on Bulk Request, please refer the **LEI Bulk Request User Manual** available in the **LEI Bulk Request Information** folder.

1. To access the **LEI Bulk Request** details, click on the **number** displayed next to the **LEI Bulk Request Information** folder. The LEI bulk request details are displayed in the right pane.

2. Information on Bulk Request is covered in the **LEI Bulk Request User Manual**.

To access the user manual, click the **Download File** icon.

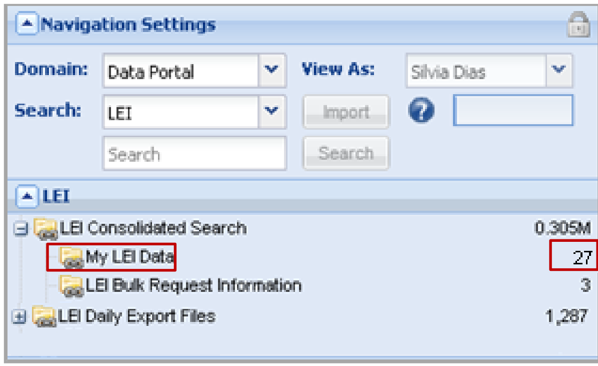
You can also access the LEI Bulk Request Template using the **Download file** icon.



3. Download the **LEI Request Ref Data** files required to populate some of the data fields

Bulk Annual Renewal Request

Every year you need to revalidate your LEI. As a reminder, an automated email will be sent to you 60 days prior to your renewal. The Bulk Annual Renewal feature enables you to request annual renewal for bulk uploaded LEIs or if more than 10 LEIs need renewal at a same time.



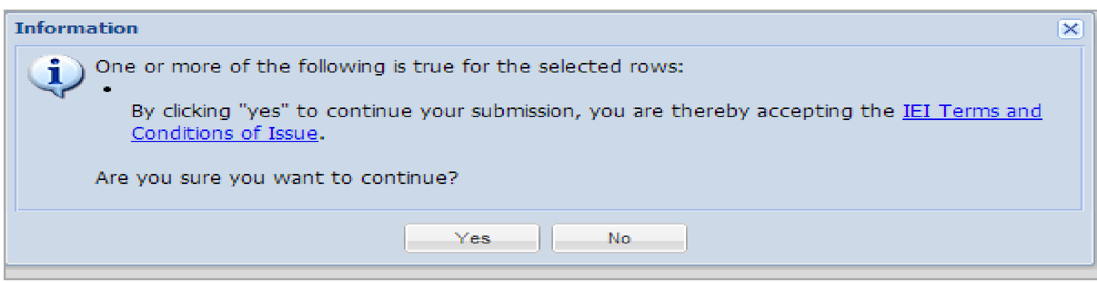
1. To access the LEI records for renewal, click the number displayed next to the **My LEI Data** folder.

The details of folder will be displayed in the right pane.

Options ▾ | Submit SPA Request | Submit Card Pymnt | Submit Bulk Request | Challenge Record | View LEI | Select for Renewal | Annual Renewal Card Pymnt

		Docs	LEI Status	LEI Event	Entity Status	Entity Event	LOU	OfficialEntityName	LEI
1	☑		ISSUED	Eligible for Renewal	Active	No event	IEI	TESTCREATE16	UATTESTLEI121746554
2	☐		ISSUED	Validated	Active	No event	IEI	TESTCREATE12	UATTESTLEI119030881
3	☑		ISSUED	Eligible for Renewal	Active	No event	IEI	TESTCREATE13	UATTESTLEI119030882
4	☑		ISSUED	Eligible for Renewal	Active	No event	IEI	TESTCREATE14	UATTESTLEI119030883
5	☑		LAPSED	Requires Annual Renewal	Active	No event	IEI	TESTCREATE15	UATTESTLEI119030884

2. Select the records that you need to renew. You should only select the records that are due for renewal (i.e. where the **LEI Event** is **Eligible for Renewal** or **Requires Annual Renewal**).
3. Click the **Select for Renewal** button.



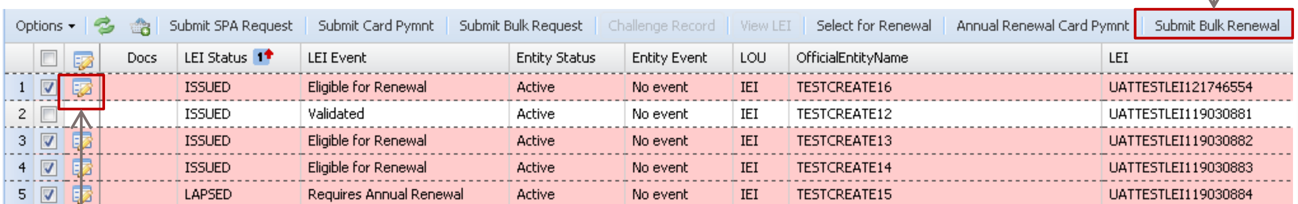
Once you click the **Select for Renewal** button, the **LEI Terms and Conditions of Issues** message is displayed.

4. Accept the **Terms and Conditions** to continue.

(…continued on the next page)

Bulk Annual Renewal Request continued

5. Once you accept the Terms and Conditions, an email will be sent to you confirming that the LEI records are selected for renewal. You have two options to submit the bulk renewal request, either by:
    a. Using the **Submit Bulk Renewal Button**
    b. Using the **Bulk Renewal Template**



	Docs	LEI Status	LEI Event	Entity Status	Entity Event	LOU	OfficialEntityName	LEI
1		ISSUED	Eligible for Renewal	Active	No event	IEI	TESTCREATE16	UATTESTLEI121746554
2		ISSUED	Validated	Active	No event	IEI	TESTCREATE12	UATTESTLEI119030881
3		ISSUED	Eligible for Renewal	Active	No event	IEI	TESTCREATE13	UATTESTLEI119030882
4		ISSUED	Eligible for Renewal	Active	No event	IEI	TESTCREATE14	UATTESTLEI119030883
5		LAPSED	Requires Annual Renewal	Active	No event	IEI	TESTCREATE15	UATTESTLEI119030884

Submit using the Submit Bulk Renewal Button

a. Click the **Submit Bulk Renewal** button to submit the renewal request via the interface.

You can also change the relevant details prior to submission by clicking the **Edit record** icon.

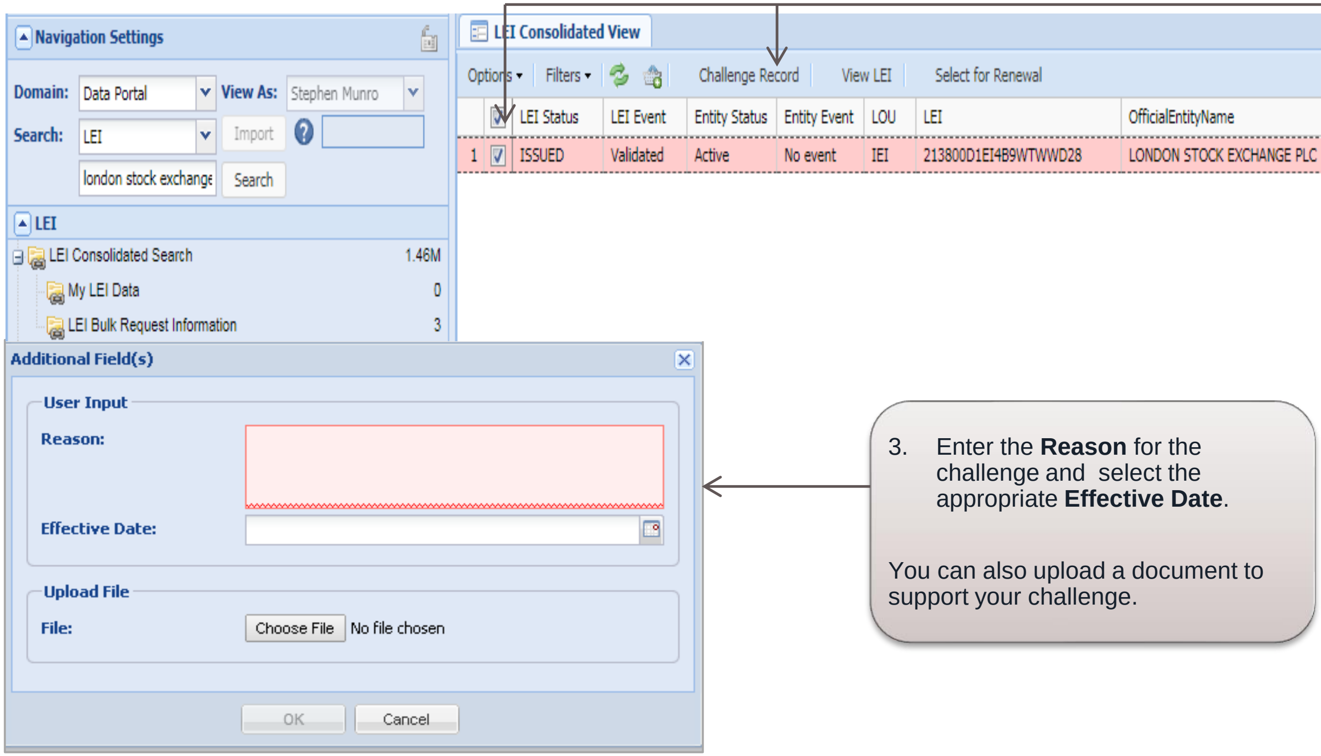
Using Bulk Renewal Template

b. The **Bulk Renewal Template** will be sent to you via an email. If you need to make any changes to your LEI records, then make the changes in the template, and send it to LEI@lseg.com

6. Once the LEI requests are validated by us, you will receive an email confirming that the requests are validated and your invoice will follow shortly.

Challenging an LEI Record

Any user can challenge an LEI record if they believe that the details submitted are incorrect. You can only challenge the LEI records that are currently held by the London Stock Exchange LEI Limited within our system. For other LEIs you can challenge at www.gleif.org



1. Select the record that you want to challenge by clicking the check box next to the record.

2. Click the **Challenge Record** button. The Additional Field(s) screen is displayed as shown below.

Note: The **Challenge Record** button will be enabled only when you select a record.

3. Enter the **Reason** for the challenge and select the appropriate **Effective Date**.

You can also upload a document to support your challenge.

Once you submit the challenge, you will receive an email confirming the challenge submission. A response to the Challenge will be received within three working days of submission.

Contact Us

Full operational support for LEI requests is available from 09:00 to 17:00, UK business days.

Contact details are as follows:

LEI Customer Support

For further information: www.lseg.com/lei

Telephone: +44 (0)207 797 3300

Email: lei@lseg.com